

S-14-01

A
+

Please type a plus sign (+) inside this box → ☐

PTO/SB/05 (08-00) (modified)

Approved for use through 9/30/2001, OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

NEW UTILITY PATENT APPLICATION TRANSMITTAL <i>(only for new nonprovisional applications under 37 CFR 1.53(b))</i>	Attorney Docket Number	20852-05639
	First Named Inventor	Laurence J. Newell
	Title	Synchronizing nodes in an optical communications system utilizing frequency division multiplexing
	Express Mail Label No.	EL482717388US

APPLICATION ELEMENTS	ACCOMPANYING APPLICATION PARTS
1. <input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate)	7. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))
2. <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27	8. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed)
3. <input checked="" type="checkbox"/> Specification Total Pages <input type="text" value="36"/> (preferred arrangement set forth below) <ul style="list-style-type: none"><input checked="" type="checkbox"/> Descriptive Title of the Invention<input checked="" type="checkbox"/> Cross Reference(s) to Related Case(s)<input checked="" type="checkbox"/> Statement Regarding Fed sponsored R & D<input checked="" type="checkbox"/> Background of the Invention<input checked="" type="checkbox"/> Brief Summary of the Invention<input checked="" type="checkbox"/> Brief Description of the Drawing(s)<input checked="" type="checkbox"/> Detailed Description<input checked="" type="checkbox"/> Claim or Claims<input checked="" type="checkbox"/> Abstract of the Disclosure	9. <input type="checkbox"/> Power of Attorney or Authorization of Agent
4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) Total Sheets <input type="text" value="17"/>	10. <input type="checkbox"/> 37 CFR 3.73(b) Statement
5. Oath or Declaration <ul style="list-style-type: none">a. <input type="checkbox"/> New Declaration Total Pages <input type="text"/> <input type="checkbox"/> Executed (original or copy)b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 18 completed)<ul style="list-style-type: none">i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).	11. <input type="checkbox"/> Preliminary Amendment
6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76	12. <input type="checkbox"/> Information Disclosure Statement & PTO-1449 <input type="checkbox"/> Copies of IDS Citation(s)
	13. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent
	14. <input checked="" type="checkbox"/> Return Postcard
	15. <input type="checkbox"/>
	16. <input type="checkbox"/>
	17. <input type="checkbox"/>
	ADDRESS TO: Box Patent Application Commissioner for Patents Washington, D.C. 20231

18. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information below and in a preliminary amendment or in an Application Data Sheet under 37 CFR 1.76:


☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: ____/____

Prior application information: Examiner: _____ Group/Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuing or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number and Bar Code Label	 00758
--	---

Name (Print/Type)	Michael W. Farn	Registration No. (Attorney/Agent)	41,015
Signature		Date	May 11, 2001

0002/PTO(modified) Rev. 10/2000 <div style="text-align: center;">FEE TRANSMITTAL</div> <div style="text-align: center;">TOTAL AMOUNT OF PAYMENT</div> Subtotal (1) + Subtotal (2) + Subtotal (3) = (\$355)	<div style="text-align: center;">Complete if Known</div> <table border="1" style="width:100%; border-collapse: collapse;"> <tr><td>Application Number</td><td>Unassigned</td></tr> <tr><td>Filing Date</td><td>May 11, 2001</td></tr> <tr><td>First Named Inventor</td><td>Laurence J. Newell</td></tr> <tr><td>Group Art Unit</td><td>Unassigned</td></tr> <tr><td>Examiner Name</td><td>Unassigned</td></tr> <tr><td>Attorney Docket Number</td><td>20852-05639</td></tr> </table>	Application Number	Unassigned	Filing Date	May 11, 2001	First Named Inventor	Laurence J. Newell	Group Art Unit	Unassigned	Examiner Name	Unassigned	Attorney Docket Number	20852-05639
Application Number	Unassigned												
Filing Date	May 11, 2001												
First Named Inventor	Laurence J. Newell												
Group Art Unit	Unassigned												
Examiner Name	Unassigned												
Attorney Docket Number	20852-05639												

METHOD OF PAYMENT	FEE CALCULATION (continued)																																																																																																																																																																										
1. The Commissioner is hereby authorized to: <input type="checkbox"/> Charge the indicated fees to the below mentioned deposit account. <input checked="" type="checkbox"/> Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account. † <input checked="" type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27 Deposit Account Number: 19-2555 Deposit Account Name: FENWICK & WEST LLP A Duplicate Copy of this authorization is attached 2. <input checked="" type="checkbox"/> Payment Enclosed: <input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit Card <input type="checkbox"/> Other FEE CALCULATION (fees effective 10/01/2000) <table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity Fee Code/Fee</th> <th>Small Entity Fee Code/Fee</th> <th>Fee Description</th> <th>Fee Due</th> </tr> </thead> <tbody> <tr><td>101/\$710</td><td>201/\$355</td><td>Utility Filing</td><td>355</td></tr> <tr><td>106/\$320</td><td>206/\$160</td><td>Design Filing</td><td></td></tr> <tr><td>108/\$710</td><td>208/\$355</td><td>Reissue</td><td></td></tr> <tr><td>114/\$150</td><td>214/\$75</td><td>Provisional Filing</td><td></td></tr> <tr> <td colspan="3">SUBTOTAL (1)</td> <td>(\$355)</td> </tr> </tbody> </table> 2. CLAIMS <table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity Fee Code/Fee</th> <th>Small Entity Fee Code/Fee</th> <th>Fee Description</th> </tr> </thead> <tbody> <tr><td>103/\$18</td><td>203/\$9</td><td>Claims in excess of 20</td></tr> <tr><td>102/\$80</td><td>202/\$40</td><td>Independent claims in excess of 3</td></tr> <tr><td>104/\$270</td><td>204/\$135</td><td>Multiple dependent claim</td></tr> <tr><td>109/\$80</td><td>209/\$40</td><td>Reissue independent claims over original patent</td></tr> <tr><td>110/\$18</td><td>210/\$9</td><td>Reissue claims in excess of 20 and over original patent</td></tr> </tbody> </table>	Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due	101/\$710	201/\$355	Utility Filing	355	106/\$320	206/\$160	Design Filing		108/\$710	208/\$355	Reissue		114/\$150	214/\$75	Provisional Filing		SUBTOTAL (1)			(\$355)	Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	103/\$18	203/\$9	Claims in excess of 20	102/\$80	202/\$40	Independent claims in excess of 3	104/\$270	204/\$135	Multiple dependent claim	109/\$80	209/\$40	Reissue independent claims over original patent	110/\$18	210/\$9	Reissue claims in excess of 20 and over original patent	3. ADDITIONAL FEES <table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity Fee Code/Fee</th> <th>Small Entity Fee Code/Fee</th> <th>Fee Description</th> <th>Fee Due</th> </tr> </thead> <tbody> <tr><td>105/\$130</td><td>205/\$65</td><td>Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>127/\$50</td><td>227/\$25</td><td>Surcharge-late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>147/\$2,520</td><td>147/\$2,520</td><td>For filing a request for reexamination</td><td></td></tr> <tr><td>115/\$110</td><td>215/\$55</td><td>Extension for response within first month†</td><td></td></tr> <tr><td>116/\$390</td><td>216/\$195</td><td>Extension for response within second month†</td><td></td></tr> <tr><td>117/\$890</td><td>217/\$445</td><td>Extension for response within third month†</td><td></td></tr> <tr><td>118/\$1,390</td><td>218/\$695</td><td>Extension for response within fourth month†</td><td></td></tr> <tr><td>128/\$1,890</td><td>228/\$945</td><td>Extension for response within fifth month†</td><td></td></tr> <tr><td>119/\$310</td><td>219/\$155</td><td>Notice of Appeal</td><td></td></tr> <tr><td>141/\$1,240</td><td>241/\$620</td><td>Petition to revive unintentionally abandoned application</td><td></td></tr> <tr><td>142/\$1,240</td><td>242/\$620</td><td>Utility Issue Fee (Or Reissue)</td><td></td></tr> <tr><td>143/\$440</td><td>243/\$220</td><td>Design Issue Fee</td><td></td></tr> <tr><td>122/\$130</td><td>122/\$130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>126/\$180</td><td>126/\$180</td><td>Submission of Information Disclosure Statement</td><td></td></tr> <tr><td>179/\$710</td><td>279/\$355</td><td>Request for Continued Examination (RCE)</td><td></td></tr> <tr><td>581/\$40</td><td>581/\$40</td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr> <tr><td>146/\$710</td><td>246/\$355</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td><td></td></tr> <tr><td>149/\$710</td><td>249/\$355</td><td>For each additional invention to be examined (37 CFR 1.129(b))</td><td></td></tr> <tr><td colspan="3">Other fee (specify):</td><td></td></tr> <tr><td colspan="3">Other fee (specify):</td><td></td></tr> <tr> <td colspan="3">SUBTOTAL (3)</td> <td>(\$)-0-</td> </tr> </tbody> </table> <table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2">(Col. 1)</th> <th colspan="2">(Col. 2)</th> <th colspan="2">(Col. 3)</th> <th colspan="2">Fee Due</th> </tr> <tr> <th>For</th> <th>No. of Existing Claims</th> <th>minus*</th> <th>Highest No. Previously Paid For</th> <th>=</th> <th>Extra**</th> <th>x</th> <th>Fee</th> </tr> </thead> <tbody> <tr> <td>TOTAL</td> <td>6</td> <td>minus*</td> <td>20 or 0</td> <td>=</td> <td>0</td> <td>x</td> <td>9</td> </tr> <tr> <td>INDEP</td> <td>2</td> <td>minus*</td> <td>3 or 0</td> <td>=</td> <td>0</td> <td>x</td> <td>40</td> </tr> <tr> <td colspan="7">[] First presentation of multiple dependent claim</td> <td>= 0</td> </tr> </tbody> </table> <div style="text-align: right;"> SUBTOTAL (2) (\$)-0- <small>* Subtract the greater number of Col. 2</small> <small>** If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3</small> </div>	Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due	105/\$130	205/\$65	Surcharge - late filing fee or oath		127/\$50	227/\$25	Surcharge-late provisional filing fee or cover sheet		147/\$2,520	147/\$2,520	For filing a request for reexamination		115/\$110	215/\$55	Extension for response within first month†		116/\$390	216/\$195	Extension for response within second month†		117/\$890	217/\$445	Extension for response within third month†		118/\$1,390	218/\$695	Extension for response within fourth month†		128/\$1,890	228/\$945	Extension for response within fifth month†		119/\$310	219/\$155	Notice of Appeal		141/\$1,240	241/\$620	Petition to revive unintentionally abandoned application		142/\$1,240	242/\$620	Utility Issue Fee (Or Reissue)		143/\$440	243/\$220	Design Issue Fee		122/\$130	122/\$130	Petitions to the Commissioner		126/\$180	126/\$180	Submission of Information Disclosure Statement		179/\$710	279/\$355	Request for Continued Examination (RCE)		581/\$40	581/\$40	Recording each patent assignment per property (times number of properties)		146/\$710	246/\$355	Filing a submission after final rejection (37 CFR 1.129(a))		149/\$710	249/\$355	For each additional invention to be examined (37 CFR 1.129(b))		Other fee (specify):				Other fee (specify):				SUBTOTAL (3)			(\$)-0-	(Col. 1)		(Col. 2)		(Col. 3)		Fee Due		For	No. of Existing Claims	minus*	Highest No. Previously Paid For	=	Extra**	x	Fee	TOTAL	6	minus*	20 or 0	=	0	x	9	INDEP	2	minus*	3 or 0	=	0	x	40	[] First presentation of multiple dependent claim							= 0
Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due																																																																																																																																																																								
101/\$710	201/\$355	Utility Filing	355																																																																																																																																																																								
106/\$320	206/\$160	Design Filing																																																																																																																																																																									
108/\$710	208/\$355	Reissue																																																																																																																																																																									
114/\$150	214/\$75	Provisional Filing																																																																																																																																																																									
SUBTOTAL (1)			(\$355)																																																																																																																																																																								
Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description																																																																																																																																																																									
103/\$18	203/\$9	Claims in excess of 20																																																																																																																																																																									
102/\$80	202/\$40	Independent claims in excess of 3																																																																																																																																																																									
104/\$270	204/\$135	Multiple dependent claim																																																																																																																																																																									
109/\$80	209/\$40	Reissue independent claims over original patent																																																																																																																																																																									
110/\$18	210/\$9	Reissue claims in excess of 20 and over original patent																																																																																																																																																																									
Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due																																																																																																																																																																								
105/\$130	205/\$65	Surcharge - late filing fee or oath																																																																																																																																																																									
127/\$50	227/\$25	Surcharge-late provisional filing fee or cover sheet																																																																																																																																																																									
147/\$2,520	147/\$2,520	For filing a request for reexamination																																																																																																																																																																									
115/\$110	215/\$55	Extension for response within first month†																																																																																																																																																																									
116/\$390	216/\$195	Extension for response within second month†																																																																																																																																																																									
117/\$890	217/\$445	Extension for response within third month†																																																																																																																																																																									
118/\$1,390	218/\$695	Extension for response within fourth month†																																																																																																																																																																									
128/\$1,890	228/\$945	Extension for response within fifth month†																																																																																																																																																																									
119/\$310	219/\$155	Notice of Appeal																																																																																																																																																																									
141/\$1,240	241/\$620	Petition to revive unintentionally abandoned application																																																																																																																																																																									
142/\$1,240	242/\$620	Utility Issue Fee (Or Reissue)																																																																																																																																																																									
143/\$440	243/\$220	Design Issue Fee																																																																																																																																																																									
122/\$130	122/\$130	Petitions to the Commissioner																																																																																																																																																																									
126/\$180	126/\$180	Submission of Information Disclosure Statement																																																																																																																																																																									
179/\$710	279/\$355	Request for Continued Examination (RCE)																																																																																																																																																																									
581/\$40	581/\$40	Recording each patent assignment per property (times number of properties)																																																																																																																																																																									
146/\$710	246/\$355	Filing a submission after final rejection (37 CFR 1.129(a))																																																																																																																																																																									
149/\$710	249/\$355	For each additional invention to be examined (37 CFR 1.129(b))																																																																																																																																																																									
Other fee (specify):																																																																																																																																																																											
Other fee (specify):																																																																																																																																																																											
SUBTOTAL (3)			(\$)-0-																																																																																																																																																																								
(Col. 1)		(Col. 2)		(Col. 3)		Fee Due																																																																																																																																																																					
For	No. of Existing Claims	minus*	Highest No. Previously Paid For	=	Extra**	x	Fee																																																																																																																																																																				
TOTAL	6	minus*	20 or 0	=	0	x	9																																																																																																																																																																				
INDEP	2	minus*	3 or 0	=	0	x	40																																																																																																																																																																				
[] First presentation of multiple dependent claim							= 0																																																																																																																																																																				

SUBMITTED BY		Complete (if applicable)	
Typed or Printed Name	Michael W. Farn	Reg. Number	41,015
Signature		Date	May 11, 2001